



**California Department of Public Health**  
Center for Health Care Quality  
Licensing and Certification Program

**Field Operations**  
Long-Term Care Health Facility Entity Report Incidents (ERIs)

**Data as of June 30, 2015 (Cumulative through Quarter 4, SFY 2014-15)**

**VOLUME**

|   | A                                     | B   | C   | D  |
|---|---------------------------------------|---|---|--|
| Reporting Period                        | ERIs Received During Reporting Period | ERIs Completed During Reporting Period (Regardless of Receipt Date) | Growth/Reduction in Open ERIs by Reporting Period | Open ERIs Remaining by Reporting Period Received |
| <b>Current State Fiscal Year</b>        |                                       |   |   |  |
| 2014-2015, Cumulative through Quarter 4 | 20,265                                | 19,263  | 1,002   | 5,441  |
| <b>Previous State Fiscal Years</b>      |                                       |   |   |  |
| 2013-2014                               | 19,731                                | 20,894  | -1,163  | 1,736  |
| 2012-2013                               | 20,318                                | 21,005  | -687  | 450  |
| 2011-2012                               | 20,520                                | 21,769  | -1,249  | 100  |
| <b>Totals</b>                           | <b>80,834</b>                         | <b>82,931</b>   | <b>-2,097</b>                                     | <b>7,744*</b>                                    |

This table identifies the number and growth or reduction in open ERIs reported by Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. Licensing and Certification Program's Field Operations considers a case completed when it has fully completed the investigation and documented the case as completed in its database.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which the ERIs was received.
- Column C shows the difference between ERIs received and completed during the respective reporting period (C=A-B). When the value of Column C is positive, the number of open ERIs increased during that reporting period. When the value of Column C is negative, the number of open ERIs decreased.
- Column D shows the number of ERIs received in a given reporting period that Field Operations has not completed as of the current reporting period. This does include some cases where the investigation has been fully completed, however the case may not have been completed in the database.

\*There are 17 open ERIs received prior to Fiscal Year 2011-2012, for a total of 7,744 (17 + 7,727) open ERIs as of July 1, 2015.



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**Data as of June 30, 2015 (Cumulative through Quarter 4, SFY 2014-15)**

**TIMELINESS**

| Reporting Period                        | ERIs Received During Reporting Period | ERIs Completed During Reporting Period (Regardless of Receipt Date) | Immediate Jeopardy (IJ) |                          | Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion |        |         |       | ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed During Reporting Period |        |         |      |
|---|---------------------------------------|---|-------------------------|--------------------------|---|--------|---------|-------|---|--------|---------|------|
|   |                                       |   | (24 hours)*             |                          | ≤90   | 91-180 | 181-365 | >365  | ≤90   | 91-180 | 181-365 | >365 |
|   |                                       |   | Number Received         | Percent Initiated Timely |   |        |         |       |   |        |         |      |
| <b>Current State Fiscal Year</b>        |                                       |   |                         |                          |   |        |         |       |   |        |         |      |
| 2014-2015, Cumulative through Quarter 4 | 20,265                                | 19,263  | 461                     | 97%                      | 14,682  | 1,967  | 1,830   | 784   | 76%   | 10%    | 10%     | 4%   |
| <b>Previous State Fiscal Years</b>      |                                       |   |                         |                          |   |        |         |       |   |        |         |      |
| 2013-2014                               | 19,731                                | 20,894  | 302                     | 96%                      | 14,264  | 2,570  | 2,239   | 1,821 | 68%   | 12%    | 11%     | 9%   |
| 2012-2013                               | 20,318                                | 21,005  | 217                     | 95%                      | 14,140  | 2,931  | 2,199   | 1,735 | 67%   | 14%    | 10%     | 8%   |
| 2011-2012                               | 20,520                                | 21,769  | 240                     | 99%                      | 14,180  | 2,774  | 2,335   | 2,480 | 65%   | 13%    | 11%     | 11%  |

This table identifies how long it takes Licensing and Certification Program's Field Operations to initiate and complete ERI cases related to Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. Licensing and Certification Program's Field Operations considers a case complete when it has fully completed the investigation and documented the case as completed in its database.

**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which the ERI was received.
- Columns C and D show the number of Immediate Jeopardy (IJ) ERIs received, and the percentage of those received that Field Operations initiated within 24 hours during the respective reporting period. (This includes all ERIs prioritized as level A by federal requirements upon intake.)
- Columns E through H show the range of days Field Operations took to complete open ERIs during the reporting period (E+F+G+H=B.)
- Columns I through L show the percentage of open ERI cases that Field Operations completed within specific intervals during the reporting period (I=E/B, J=F/B, K=G/B, L=H/B.) Numbers may not add to 100 due to rounding.

\*ERIs do not have mandatory timelines for initiation; Licensing and Certification Program's Field Operations makes every effort to initiate investigations all Immediate Jeopardy reports within 24 hours.



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**DISPOSITION**

|   | A                                     | B   | C                    | D                  | E  | F   | G   | H   |
|---|---------------------------------------|---|----------------------|--------------------|--|---|---|---|
| Reporting Period                        | ERIs Received During Reporting Period | ERIs Completed During Reporting Period (Regardless of Receipt Date) | Unsubstantiated ERIs | Substantiated ERIs | Substantiated ERIs as a Percentage of Total ERIs Completed | Total Deficiencies for All Substantiated ERIs | Average Deficiencies per Substantiated ERIs | Number of ERIs Referred to Other Entities |
| <b>Current State Fiscal Year</b>        |                                       |   |                      |                    |  |   |   |   |
| 2014-2015, Cumulative through Quarter 4 | 20,265                                | 19,263  | 4,169                | 6,806              | 35%  | 4,228   | 0.62  | 1,557                                     |
| <b>Previous State Fiscal Years</b>      |                                       |   |                      |                    |  |   |   |   |
| 2013-2014                               | 19,731                                | 20,894  | 4,611                | 6,861              | 33%  | 3,986   | 0.58  | 1,084                                     |
| 2012-2013                               | 20,318                                | 21,005  | 3,666                | 6,071              | 29%  | 3,008   | 0.50  | 779                                       |
| 2011-2012                               | 20,520                                | 21,769  | 3,257                | 5,960              | 27%  | 2,574   | 0.43  | 732                                       |
| <b>Totals</b>                           | <b>80,834</b>                         | <b>82,931</b>   | <b>15,703</b>        | <b>25,698</b>      | <b>31%</b>   | <b>13,796</b>                                 | <b>0.54</b>                                 | <b>4,152</b>                              |

This table identifies the disposition of completed ERI investigations reported by Skilled Nursing Facilities, Intermediate Care Facilities (including all those serving Developmentally Disabled), Congregate Living Health Facilities, and Pediatric Day Health and Respite Care Facilities. An ERI is "substantiated" when, Licensing and Certification's Field Operations finds evidence the alleged event(s) occurred. If the investigation determines a substantiated ERI entails a facility's violation of state or federal regulation, Field Operations issues a deficiency to the facility. A substantiated ERI may result in one or more deficiencies or none at all if there was not a violation of state or federal regulation. "Unsubstantiated" ERIs most commonly involve resident to resident abuse allegations reported by the resident to a staff member and without witness; and/or events a facility reported in an abundance of caution, which surveyors later determine did not require reporting.

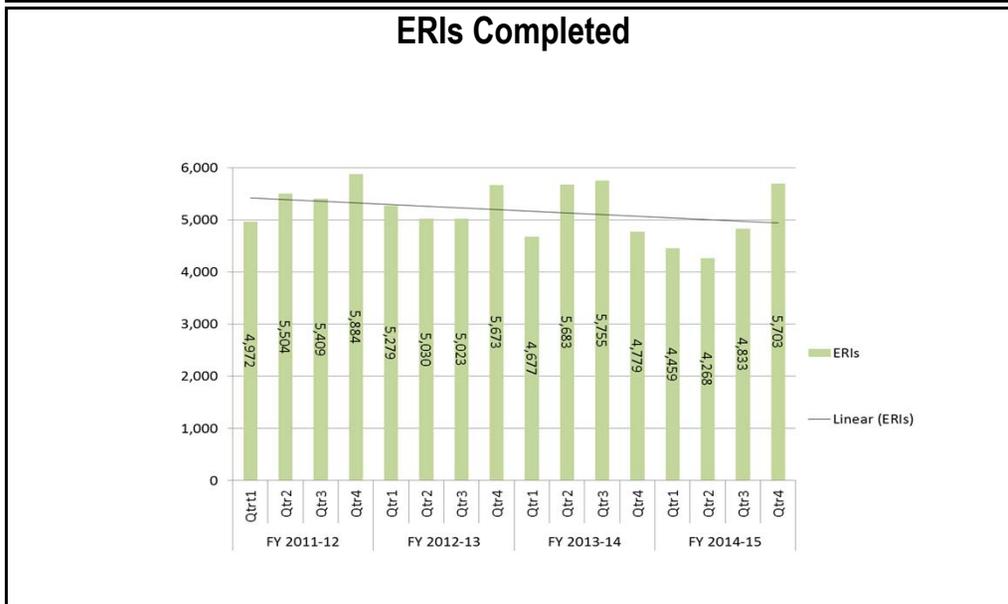
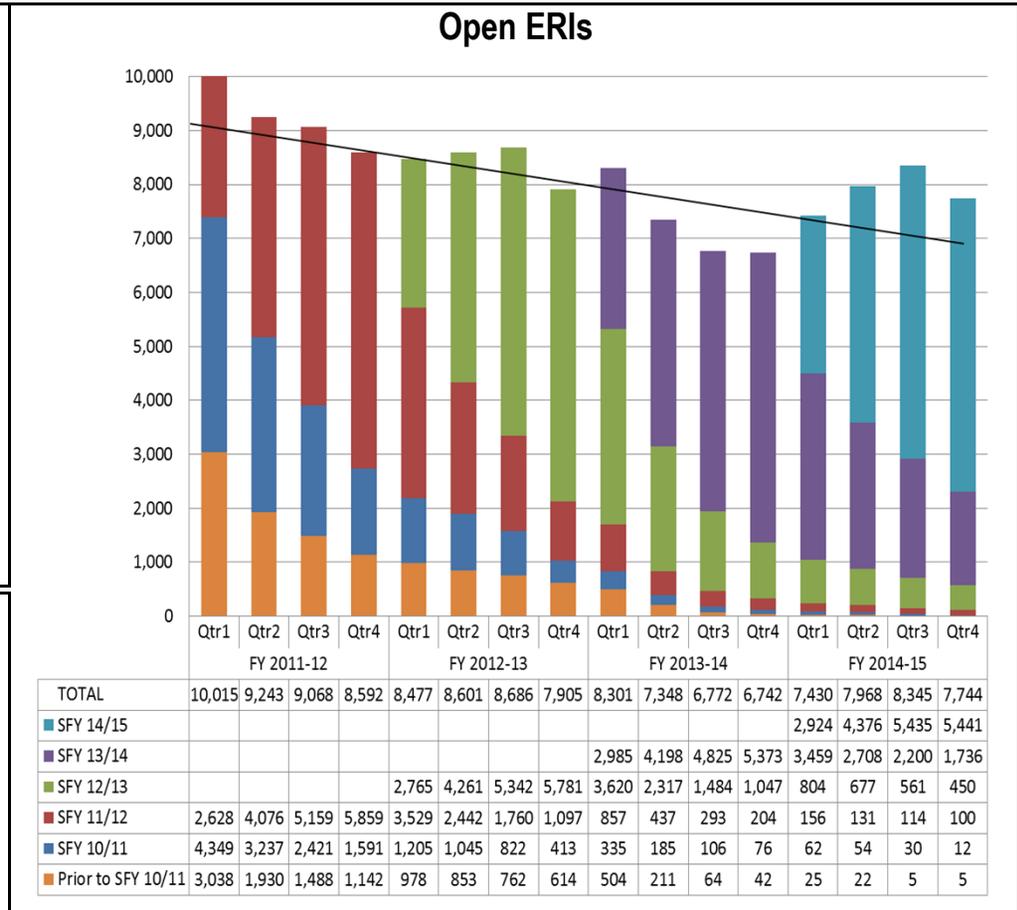
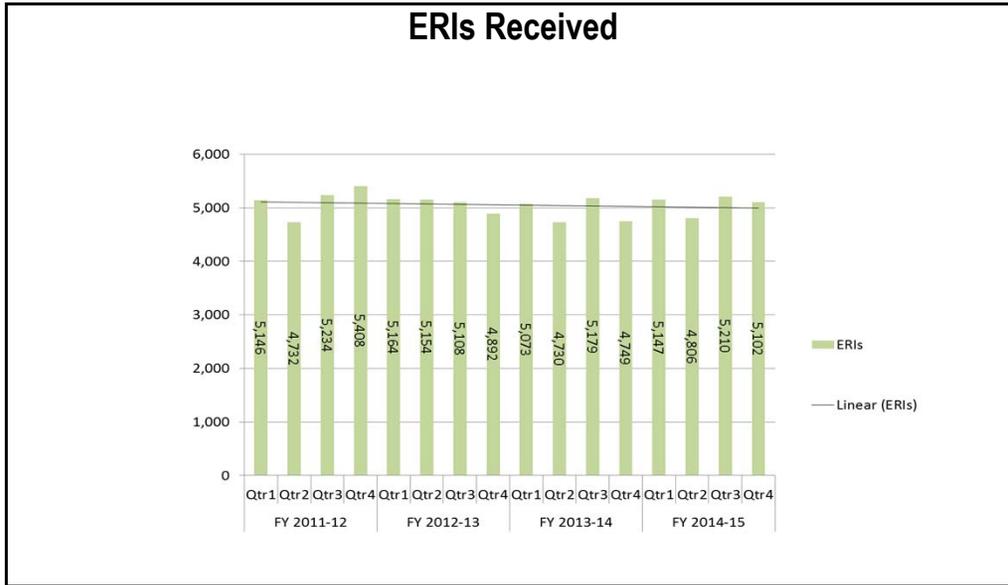
**Table Notes:**

- Column A shows the number of new ERIs Field Operations received during the respective reporting period.
- Column B shows the number of ERIs Field Operations completed during the respective reporting period, regardless of the reporting period in which field operations received the ERIs.
- Columns C and D show the number of unsubstantiated and substantiated ERIs completed in a given reporting period.
- Column E shows the number of substantiated ERIs completed as percentage of all ERIs completed in a given reporting period ( $E=D/B$ ).
- Column F shows the number of deficiencies Field Operations issued for ERI-related investigations completed in a given reporting period.
- Column G shows the average number of deficiencies for each substantiated ERI ( $G=F/D$ ).
- Column H shows the number of ERIs received in the given reporting period for which the electronic system shows Field Operations referred the ERI to an outside entity. These figures are likely understated as a result of inconsistent data entry.



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**Summary:** The trend for ERIs received over the past 16 quarters indicates that the number of ERIs CHCQ receives is somewhat stable. The trend for ERIs completed over the past 16 quarters shows that the number of ERIs completed is decreasing, yet the most recent quarter's completion volume has enabled CHCQ to reduce the number of pending ERIs for the first time in 3 quarters. CHCQ continues to identify methods for reducing the number of open ERIs.

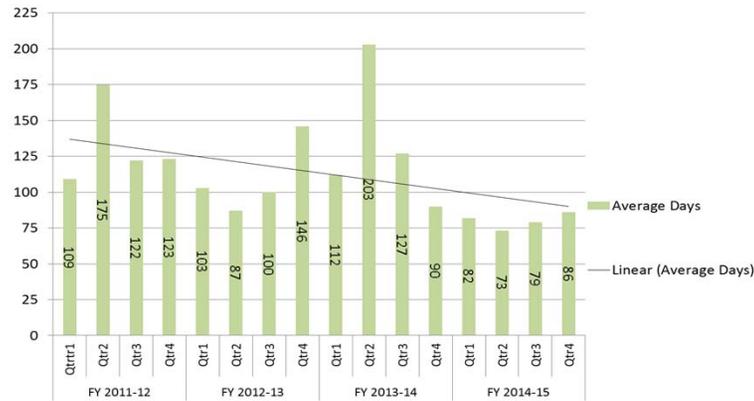


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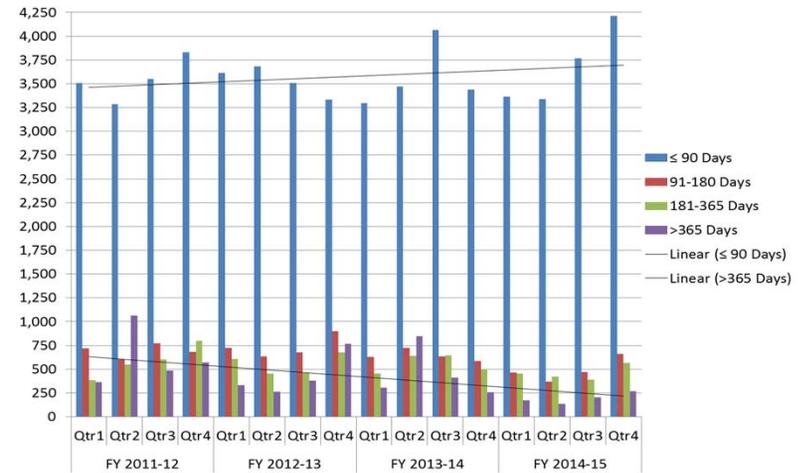
**Field Operations**

Long-Term Care Health Facility Entity Reported Incidents (ERIs)  
**Data as of June 30, 2015 (Cumulative through Quarter 4, SFY 2014-15)**

**Average Days from ERI Receipt to Completion**



**ERIs Completed by Intervals**



**Summary:** The “Average Days from ERI Receipt to Completion” table shows a steadily declining trend in the average number of business days it takes to complete an ERI.

The “ERIs Completed by Intervals” chart shows the number of cases completed by interval (<90 days, 91-180 days, 181-365 days, >365 days.) There is an increasing trend in the number of cases completed in less than 90 days, and a decreasing trend in the number of cases completed in more than 365 days.

Quarters that have the greatest number of ERIs closed in the >365 day interval also have the greatest average days from receipt to completion of the ERI investigation.



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by District Office

**Data as of June 30, 2015 (Cumulative through Quarter 4, SFY 2014-15)**

**VOLUME**

|                             | A                                     | B   | C   | D            |
|-----------------------------|---------------------------------------|---|---|--------------|
| District Office / Statewide | ERIs Received During Reporting Period | ERIs Completed During Reporting Period (Regardless of Receipt Date) | Growth/Reduction in Open ERIs by Reporting Period | Open ERIs    |
| <b>California</b>           | <b>20,265</b>                         | <b>19,263</b>   | <b>1,002</b>                                      | <b>7,744</b> |
| Bakersfield                 | 1,360                                 | 1,369   | -9  | 69           |
| Chico                       | 598                                   | 572   | 26  | 327          |
| East Bay                    | 995                                   | 961   | 34  | 160          |
| Fresno                      | 1,928                                 | 1,874   | 54  | 253          |
| Los Angeles County          | 3,585                                 | 2,377   | 1,208   | 3,389        |
| Orange County               | 730                                   | 672   | 58  | 97           |
| Riverside                   | 869                                   | 915   | -46   | 203          |
| Sacramento                  | 1,819                                 | 1,753   | 66  | 240          |
| San Bernardino              | 1,242                                 | 1,371   | -129  | 198          |
| San Diego North             | 635                                   | 669   | -34   | 197          |
| San Diego South             | 482                                   | 480   | 2   | 136          |
| San Francisco               | 746                                   | 1,053   | -307  | 417          |
| San Jose                    | 717                                   | 690   | 27  | 105          |
| Santa Rosa/Redwood Coast    | 821                                   | 854   | -33   | 371          |
| State Facilities Section    | 2,979                                 | 2,929   | 50  | 1,444        |
| Ventura                     | 759                                   | 724   | 35  | 138          |



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**TIMELINESS**

| Reporting Period         | A                                     | B   | C                        |            | D                        | E   |              |            |            | F   |            |           |           | G   | H                        | I   |                          |  |  | J | K | L | M | N |
|--------------------------|---------------------------------------|---|--------------------------|------------|--------------------------|---|--------------|------------|------------|---|------------|-----------|-----------|---|--------------------------|---|--------------------------|--|--|---|---|---|---|---|
|                          | ERIs Received During Reporting Period | ERIs Completed During Reporting Period (Regardless of Receipt Date) | Immediate Jeopardy (IJ)  |            | Percent Initiated Timely | Number of ERIs Completed During Reporting Period by Working Days from Receipt to Completion |              |            |            | ERIs Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed During Reporting Period |            |           |           | Avg Days to Complete ERIs During Reporting Period | Average Age of Open ERIs |   |                          |  |  |   |   |   |   |   |
|                          |                                       |   | (24 hours)               |            |                          | ≤90   | 91-180       | 181-365    | >365       | ≤90   | 91-180     | 181-365   | >365      |   |                          |   |                          |  |  |   |   |   |   |   |
| Number Received          | Number Received                       | Number Received   | Percent Initiated Timely | ≤90        | 91-180                   | 181-365   | >365         | ≤90        | 91-180     | 181-365   | >365       | ≤90       | 91-180    | 181-365   | >365                     | Avg Days to Complete ERIs During Reporting Period | Average Age of Open ERIs |  |  |   |   |   |   |   |
| <b>California</b>        | <b>20,265</b>                         | <b>19,263</b>   | <b>461</b>               | <b>97%</b> | <b>14,682</b>            | <b>1,967</b>  | <b>1,830</b> | <b>784</b> | <b>76%</b> | <b>10%</b>  | <b>10%</b> | <b>4%</b> | <b>81</b> | <b>188</b>  |                          |   |                          |  |  |   |   |   |   |   |
| Bakersfield              | 1,360                                 | 1,369   | 5                        | 100%       | 1,337                    | 22  | 9            | 1          | 98%        | 2%  | 1%         | 0%        | 18        | 26  |                          |   |                          |  |  |   |   |   |   |   |
| Chico                    | 598                                   | 572   | 8                        | 100%       | 219                      | 202   | 136          | 15         | 38%        | 35%   | 24%        | 3%        | 138       | 131   |                          |   |                          |  |  |   |   |   |   |   |
| East Bay                 | 995                                   | 961   | 5                        | 100%       | 897                      | 57  | 6            | 1          | 93%        | 6%  | 1%         | 0%        | 34        | 50  |                          |   |                          |  |  |   |   |   |   |   |
| Fresno                   | 1,928                                 | 1,874   | 69                       | 94%        | 1,753                    | 93  | 27           | 1          | 94%        | 5%  | 1%         | 0%        | 27        | 65  |                          |   |                          |  |  |   |   |   |   |   |
| Los Angeles County       | 3,585                                 | 2,377   | 169                      | 98%        | 1,466                    | 341   | 446          | 124        | 62%        | 14%   | 19%        | 5%        | 109       | 263   |                          |   |                          |  |  |   |   |   |   |   |
| Orange County            | 730                                   | 672   | 1                        | 100%       | 660                      | 10  | 0            | 2          | 98%        | 1%  | 0%         | 0%        | 34        | 40  |                          |   |                          |  |  |   |   |   |   |   |
| Riverside                | 869                                   | 915   | 9                        | 100%       | 719                      | 54  | 74           | 68         | 79%        | 6%  | 8%         | 7%        | 98        | 102   |                          |   |                          |  |  |   |   |   |   |   |
| Sacramento               | 1,819                                 | 1,753   | 37                       | 100%       | 1,725                    | 23  | 4            | 1          | 98%        | 1%  | 0%         | 0%        | 26        | 25  |                          |   |                          |  |  |   |   |   |   |   |
| San Bernardino           | 1,242                                 | 1,371   | 64                       | 91%        | 1,064                    | 202   | 85           | 20         | 78%        | 15%   | 6%         | 1%        | 59        | 144   |                          |   |                          |  |  |   |   |   |   |   |
| San Diego North          | 635                                   | 669   | 24                       | 100%       | 507                      | 126   | 33           | 3          | 76%        | 19%   | 5%         | 0%        | 65        | 138   |                          |   |                          |  |  |   |   |   |   |   |
| San Diego South          | 482                                   | 480   | 2                        | 100%       | 339                      | 95  | 45           | 1          | 71%        | 20%   | 9%         | 0%        | 66        | 125   |                          |   |                          |  |  |   |   |   |   |   |
| San Francisco            | 746                                   | 1,053   | 0                        | 0%         | 472                      | 106   | 246          | 229        | 45%        | 10%   | 23%        | 22%       | 241       | 210   |                          |   |                          |  |  |   |   |   |   |   |
| San Jose                 | 717                                   | 690   | 1                        | 100%       | 689                      | 1   | 0            | 0          | 100%       | 0%  | 0%         | 0%        | 27        | 33  |                          |   |                          |  |  |   |   |   |   |   |
| Santa Rosa/Redwood Coast | 821                                   | 854   | 59                       | 98%        | 508                      | 125   | 143          | 78         | 59%        | 15%   | 17%        | 9%        | 125       | 168   |                          |   |                          |  |  |   |   |   |   |   |
| State Facilities Section | 2,979                                 | 2,929   | 7                        | 100%       | 1,667                    | 477   | 563          | 222        | 57%        | 16%   | 19%        | 8%        | 126       | 164   |                          |   |                          |  |  |   |   |   |   |   |
| Ventura                  | 759                                   | 724   | 1                        | 100%       | 660                      | 33  | 13           | 18         | 91%        | 5%  | 2%         | 2%        | 57        | 36  |                          |   |                          |  |  |   |   |   |   |   |



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by District Office

**Data as of June 30, 2015 (Cumulative through Quarter 4, SFY 2014-15)**

**DISPOSITION**

|                             | A                                     | B   | C                    | D                  | E  | F   | G   | H   |
|-----------------------------|---------------------------------------|---|----------------------|--------------------|--|---|---|---|
| District Office / Statewide | ERIs Received During Reporting Period | ERIs Completed During Reporting Period (Regardless of Receipt Date) | Unsubstantiated ERIs | Substantiated ERIs | Substantiated ERIs as a Percentage of Total ERIs Completed | Total Deficiencies for All Substantiated ERIs | Average Deficiencies per Substantiated ERIs | Number of ERIs Referred to Other Entities |
| <b>California</b>           | <b>20,265</b>                         | <b>19,263</b>   | <b>4,169</b>         | <b>6,806</b>       | <b>35%</b>   | <b>4,228</b>                                  | <b>0.62</b>                                 | <b>1,557</b>                              |
| Bakersfield                 | 1,360                                 | 1,369   | 126                  | 406                | 30%  | 271   | 0.67  | 37  |
| Chico                       | 598                                   | 572   | 153                  | 417                | 73%  | 404   | 0.97  | 292                                       |
| East Bay                    | 995                                   | 961   | 136                  | 357                | 37%  | 259   | 0.73  | 20  |
| Fresno                      | 1,928                                 | 1,874   | 181                  | 572                | 31%  | 560   | 0.98  | 14  |
| Los Angeles County          | 3,585                                 | 2,377   | 469                  | 531                | 22%  | 514   | 0.97  | 423                                       |
| Orange County               | 730                                   | 672   | 40                   | 50                 | 7%   | 55  | 1.10  | 16  |
| Riverside                   | 869                                   | 915   | 476                  | 125                | 14%  | 183   | 1.46  | 38  |
| Sacramento                  | 1,819                                 | 1,753   | 274                  | 541                | 31%  | 311   | 0.57  | 216                                       |
| San Bernardino              | 1,242                                 | 1,371   | 149                  | 420                | 31%  | 80  | 0.19  | 51  |
| San Diego North             | 635                                   | 669   | 430                  | 227                | 34%  | 51  | 0.22  | 16  |
| San Diego South             | 482                                   | 480   | 81                   | 225                | 47%  | 113   | 0.50  | 2   |
| San Francisco               | 746                                   | 1,053   | 300                  | 725                | 69%  | 43  | 0.06  | 69  |
| San Jose                    | 717                                   | 690   | 180                  | 505                | 73%  | 451   | 0.89  | 8   |
| Santa Rosa/Redwood Coast    | 821                                   | 854   | 171                  | 451                | 53%  | 469   | 1.04  | 30  |
| State Facilities Section    | 2,979                                 | 2,929   | 598                  | 1,156              | 39%  | 245   | 0.21  | 3   |
| Ventura                     | 759                                   | 724   | 405                  | 98                 | 14%  | 219   | 2.23  | 322                                       |